

Form PTO-1449

U.S. Department of Commerce  
Patent and Trademark OfficeAttorney Docket No.  
SVL920030138US1Serial No.  
10/766,764

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicant (s): Cai, et al.

Filing Date:  
January 27, 2004Group Art Unit:  
2176

## U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Sub-class	Filing Date
AQ	AA	5089985	2/18/92	Chang et al.			
	AB	5428737	6/27/95	Li et al.			
	AC	5764973	6/9/98	Lunceford et al			
	AD	5778354	7/7/98	Leslie et al.			
	AE	5822747	10/13/98	Graefe et al.			
	AF	5845299	12/1/98	Arora et al.			
	AG	5911145	6/8/99	Arora et al.			
	AH	6070175	5/30/00	Mezei			
	AI	6105024	8/15/00	Graefe et al.			
	AJ	6198480	3/6/01	Cotugno et al.			
	AK	6356906	3/12/02	Lippert et al.			
	AL	6356920	3/12/02	Vandersluis			
	AM	6405191	6/11/02	Bhatt et al.			
V	AN	US 2002/0013790 A1	1/31/02	Vandersluis			

## FOREIGN PATENT DOCUMENTS

		Document	Date	Country	Class	Sub-class	Translation Yes/No
AQ	BA	WO 01/82133 A2	1 Nov 2001	PCT	G06F	17/30	No
AQ	BB	Serial No. 2349905	June 1, 2001	Canada			No

EXAMINER /Adam Queler/

DATE CONSIDERED 05/03/2006

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant (s).

Form PTO-1449		U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. SVL920030138US1	Serial No. 10/766,764
INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)			Applicant (s): Cai, et al.	
			Filing Date: January 27, 2004	Group Art Unit: 2176
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)				
AQ	CA	Microsoft Corp., "Orthogonal Optimization of Subqueries and Aggregation," by Cesar A. Galindo-Legaria and Milind M. Joshi, pp. 571-581, from ACM SIGMOD 2001, May 21-24, Santa Barbara, CA USA, © 2001.		
AQ	CB	Dessaux, Claire, "Exchanging XML-Based Messages on the Oracle9i Application Server" pp48-51, [online], available from <a href="http://www.XML-Journal.com">http://www.XML-Journal.com</a> , vol. 2, issue-4.		
AQ	CC	Institute of Electrical and Electronics Engineers, Inc., "XML and DB2," by Josephine Cheng and Jane XU of IBM Corp., Abstract, p. 569 from the 16th International Conference on Data Engineering, February 28 - March 3, 2000, San Diego, California, p. 1, [online], <URL: <a href="http://www.computer.org/proceedings/icde/0506/05050569abs.html">http://www.computer.org/proceedings/icde/0506/05050569abs.html</a> > printed on 8/29/02.		
AQ	CD	IBM Corp., "XML and WebSphere Studio Application Developer - Part 3, SQL and SML, p. 1-4, [online] available from <URL: <a href="http://www7b.software.ibm.co..d/techjournal/0202_haggarty/haggarty.html">http://www7b.software.ibm.co..d/techjournal/0202_haggarty/haggarty.html</a> >, printed on 8/29/02.		
AQ	CE	Visual Studio Magazine, "Create Powerful Web Reports," : Use VB code to generate T-SQL queries..., by Roger Jennings, p. 1 [online] <URL: <a href="http://fawcette.com/Arc...j/2001/">http://fawcette.com/Arc...j/2001/</a> >, printed on 8/29/02.		
AQ	CF	Syspro Times, Quarter 2, 2002, "XML Report Viewer," p. 1-8, [online] available from <a href="http://www.rte-cyber.com">www.rte-cyber.com</a>		
AQ	CG	IBM Corp. Research Disclosure n444208, April 2001, #208, p.709, "Conversion of Final Form Data, such as AFP to XML		
AQ	CH	IBM Corp., Research Disclosure n451156, November 2001, #156, p. 1966, "Generating Hierarchical XML Data from a flat (Non-Hierarchical) Data Source.		
AQ	CI	U.S. Patent Application Serial No. 09/409,598, filed September 30, 1999, entitled "Extensible markup Language (XML) Server Pages Having Custom Document Object Model (DOM) Tags," invented by C.S. Claussen, M.H. Conner, B.C. Zumbrunnen and M.D. McClain		
AQ	CJ	U.S. Patent Application Serial No. 09/409,600, filed September 30, 1999, entitled "Method for Processing a Document Object Model (DOM) Having Custom Tags," invented by C.S. Claussen, M.H. Conner and B.C. Zumbrunnen		
EXAMINER /Adam Queler/			DATE CONSIDERED 05/03/2006	
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant (s).				

Form PTO-1449		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No. <b>SVL920030138US1</b>		Serial No. <b>unknown</b>	
<b>INFORMATION DISCLOSURE STATEMENT</b> (Use several sheets if necessary)				Applicant (s): Cai, et al.			
				Filing Date: <i>January 27, 2004</i>		Group Art Unit: <b>unknown</b>	

  

U.S. PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Name	Class	Sub-class	Filing Date	
AQ	AA	US 6,381,627 B1	April 30, 2003	Kwan et al.	709	201	Sept. 21, 1998
AQ	AB	US 2002/0120652 A1	Aug. 29, 2002	Rising, III et al.	707	513	Oct. 22, 2001
AQ	AC	US 2003/0101434 A1	May 29, 2003	Szperski	717	120	Nov. 29, 2001

  

FOREIGN PATENT DOCUMENTS							
Document	Date	Country	Class	Sub-class	Translation Yes/No		
AQ	BA	WO 03/060758 A2	July 24, 2003	PCT	G06F 17	30	No

  

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
AQ	CA	Lin, Chen, Wang, Zhang, Cai, Cu and Lee, U.S. Patent Application No. 10/325,781, filed Dec. 19, 2002, "Method, System and Program for Optimizing Processing of Nested Functions", assignee International Business Machines Corporation, IBM Docket No. SVL920020085US1
AQ	CB	Truyen et al, "Dynamic and Selective Combination of Extensions in Component-Based Application," International Conference on Software Engineering, Proceedings of the 23 <sup>rd</sup> International Conference on Software Engineering, Toronto, Ontario, Canada, 2001, pp. 233-242, published by the IEEE Computer Society
AQ	CC	David E. Siegel, "A Proposal for a Namespace Facility in APL+WIN," APL Quad Quote, Volume 31, Number 4, pp. 25-32, June 2001, ACM SigAPL
AQ	CD	Bergmann et al, "Vex - A CAD toolbox," Annual ACM/IEEE Design Automation Conference, Proceedings of the 36 <sup>th</sup> ACM/IEEE Conference on Design Automation, New Orleans, Louisiana, USA, pp. 523-528, June 1999, Published ACM Press
AQ	CE	Charles M. Eastman, "System Facilities for CAD Databases," Annual ACM IEEE Design Automation Conference, Proceedings of the 17 <sup>th</sup> Design Automation Conference on Design Automation, Minneapolis, Minnesota, United States, pp. 50-56, 1980, published by ACM Press
AQ	CF	Baker et al., "What Terms Does Your Metadata Use? Application Profiles as Machine-Understandable Narratives," Journal of Digital Information, Vol. 2, No. 2, Article No. 65, 2001-11-06, 2001
AQ	CG	"Information technology - Database languages - SQL - Part 14: XML-Related Specifications (SQL/XML)", ISO/IEC JTC 1/SC 32, Date: 2003-07-14, ISO/IEC 9075-14:2003(E), Working Draft

  

EXAMINER <i>/Adam Queler/</i>	DATE CONSIDERED    05/03/2006
----------------------------------	-------------------------------

  

EXAMINER:	Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant (s).
-----------	---

Form PTO-1449		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No. <b>SVL920030138US1</b>		Serial No. <b>unknown</b>	
<b>INFORMATION DISCLOSURE STATEMENT</b> (Use several sheets if necessary)				Applicant (s): <b>Cai, et al.</b>			
				Filing Date: <b>January 27, 2004</b>		Group Art Unit: <b>unknown</b>	

  

U.S. PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Name	Class	Sub-class	Filing Date	

  

FOREIGN PATENT DOCUMENTS							
	Document	Date	Country	Class	Sub-class	Translation Yes/No	

  

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
AQ	CH	"Extensible Markup Language (XML) 1.0 (Second Edition)," W3C Recommendation 6 October 2000, from <a href="http://www.w3.org/TR/REC-xml">http://www.w3.org/TR/REC-xml</a>
AQ	CI	"Namespaces in XML," World Wide Web Consortium 14-January-1999, REC-xml-names-19990114, from <a href="http://www.w3.org/TR/REC-xml-names/">http://www.w3.org/TR/REC-xml-names/</a>
AQ	CJ	"Canonical XML Version 1.0," W3C Recommendation 15 March 2001, from <a href="http://www.w3.org/TR/xml-c14n">http://www.w3.org/TR/xml-c14n</a>
AQ	CK	"Document Object Model (DOM) Level 1 Specification Version 1.0," W3C Recommendation 1 October, 1998, REC-DOM-Level-1-19981001, Downloaded from <a href="http://www.w3.org/TR/1998/REC-DOM-Level-1-19981001/DOM.pdf">http://www.w3.org/TR/1998/REC-DOM-Level-1-19981001/DOM.pdf</a>
AQ	CL	Norman Walsh, "What is XML?," October 3, 1998, From <a href="http://www.xml.com/pub/a/98/10/guide1.html">http://www.xml.com/pub/a/98/10/guide1.html</a>
AQ	CM	Norman Walsh, "What Do XML Documents Look Like?," October 3, 1998, From <a href="http://www.xml.com/pub/a/98/10/guide2.html">http://www.xml.com/pub/a/98/10/guide2.html</a>
AQ	CN	Norman Walsh, "Validity," October 3, 1998, From <a href="http://www.xml.com/pub/a/98/10/guide3.html">http://www.xml.com/pub/a/98/10/guide3.html</a>
AQ	CO	Norman Walsh, "Pulling the Pieces Together," October 3, 1998, From <a href="http://www.xml.com/pub/a/98/10/guide4.html">http://www.xml.com/pub/a/98/10/guide4.html</a>

  

EXAMINER      /Adam Queler/	DATE CONSIDERED      05/03/2006
-----------------------------	---------------------------------

  

EXAMINER:	Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant (s).
-----------	---

IDS - 05/02/2006

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		10766764
	Filing Date		2004-01-27
	First Named Inventor	Mengchu Cai	
	Art Unit	2178	
	Examiner Name	Adam M Queler	
	Attorney Docket Number	SVL920030138US1	

U.S.PATENTS							Remove
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	
AQ	1	6487546	B1	2002-11-26	Witkowski		
AQ	2	6233610	B1	2001-05-15	Hayball et al.		
AQ	3	6604100	B1	2003-08-05	Fernandez et al.		
AQ	4	6941521	B2	2005-09-06	Lin et al.		
AQ	5	6981211	B1	2005-12-27	Claussen et al.		
AQ	6	6981212	B1	2005-12-27	Claussen et al.		
If you wish to add additional U.S. Patent citation information please click the Add button.							Add
U.S.PATENT APPLICATION PUBLICATIONS							Remove
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10766764
Filing Date	2004-01-27
First Named Inventor	Mengchu Cai
Art Unit	2178
Examiner Name	Adam M Queler
Attorney Docket Number	SVL920030138US1

AQ	1	20010037345	A1	2001-11-01	Kiernan et al.	
AQ	2	20040073553	A1	2004-04-15	Brown et al.	
AQ	3	20040122815	A1	2004-06-24	Wang et al.	
AQ	4	20020116412	A1	2002-08-22	Barnes et al.	
AQ	5	20030182268	A1	2003-09-25	Lal	

If you wish to add additional U.S. Published Application citation information please click the Add button.

**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button.

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
AQ	1	SHANMUGASUNDARAM, J., E., SHEKITA, R. BARR, M. CAREY, B. LINDSAY, H. PIRAHESH, and B. REINWALD, "Efficiently Publishing Relational Data as XML Documents," The VLDB Journal, 2001, 10: pp. 133-154	<input type="checkbox"/>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10766764
Filing Date	2004-01-27
First Named Inventor	Mengchu Cai
Art Unit	2178
Examiner Name	Adam M Queler
Attorney Docket Number	SVL920030138US1

AQ	2	EISENBERG, A. and MELTON, J., "SQL/XML is Making Good Progress," SIGMOD Record, Vol. 31, No. 2, June 2002, pp. 101-108.	<input type="checkbox"/>
----	---	---	--------------------------

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature	/Adam Queler/	Date Considered	05/03/2006
--------------------	---------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.